BaFin

Reporting and Publishing Platform Portal
MVP Portal

User Manual

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Introduction

The present Document describes the procedure for registering with and logging in to the Reporting and Publishing Platform Portal (*Melde- und Veröffentlichungsplattform Portal* – MVP Portal) of the Federal Financial Supervisory Authority (*Bundesanstalt für Finanzdienstleistungsaufsicht* – BaFin). The MVP Portal serves as a platform for various specialised procedures for which a notification requirement is prescribed by law. It thus offers notifying parties the possibility of complying with their obligation to BaFin.
For this, the steps as set out hereinafter describe how you (1.) register with and then log in to the MVP Portal, and (2.) can apply for notification authorisation for a specialised procedure.

This will not result in any changes to procedures currently being reported via the MVP. The notifications will continue to be submitted via the usual platform. Eventually these procedures will be transferred to the MVP Portal, but this will be announced separately.

Requirements

1.1 Technical requirements

To register on the MVP Portal and submit notifications there, you must meet the following technical requirements:

1.1.1 Internet access

To submit electronic notifications to us, you need an Internet-enabled computer with Internet access.
When sensitive data are transmitted, you should submit notifications from a secure network so that the data transfer cannot be intercepted. An openly accessible WLAN, for example, is not suitable for sending sensitive data.

1.1.2 Web browser

You need a web browser in order to access the MVP Portal (which was tested with the Internet Explorer as well as Mozilla Firefox). Normally, it should be possible to use any HTML-compliant browser.

1.1.3 E-mail

For the registration, you need an e-mail address and a means of accessing it. You must provide this e-mail address during the registration process; it serves as the primary channel of communication between BaFin and you. In the case of certain sensitive operations, an e-mail is sent to you in order to confirm the operation.

1.1.4 Web service client

If you would like to use the option of sending us notifications in automated form in a single operation, you need a SOAP-compatible web service client. You will find the configuration and the link to the service definition in the relevant chapter for this or in the online documentation of the MVP Portal under “Documentation/Help”.

1.1.5 Printer

When you apply for a notification authorisation, you will be requested to print out and sign the electronically submitted application and to send it to BaFin together with the required documents.

MVP Portal

1.2 MVP Portal start page

To obtain access to the MVP Portal, you first have to register as a notifying party. You can find the application for this on the BaFin website:

http://www.bafin.de

In the upper right corner of the page you can choose "English" for the English version of BaFin homepage.
Under the section "Companies" and the hyperlink "Reporting and publishing platform (MVP)" in the left-hand menu, you will be directed to the start page of "Reporting and Publishing Portal - MVP Portal". If MVP Portal is presented in German, you can choose the English version in section "Sprache" (Language) in the left-hand menu.

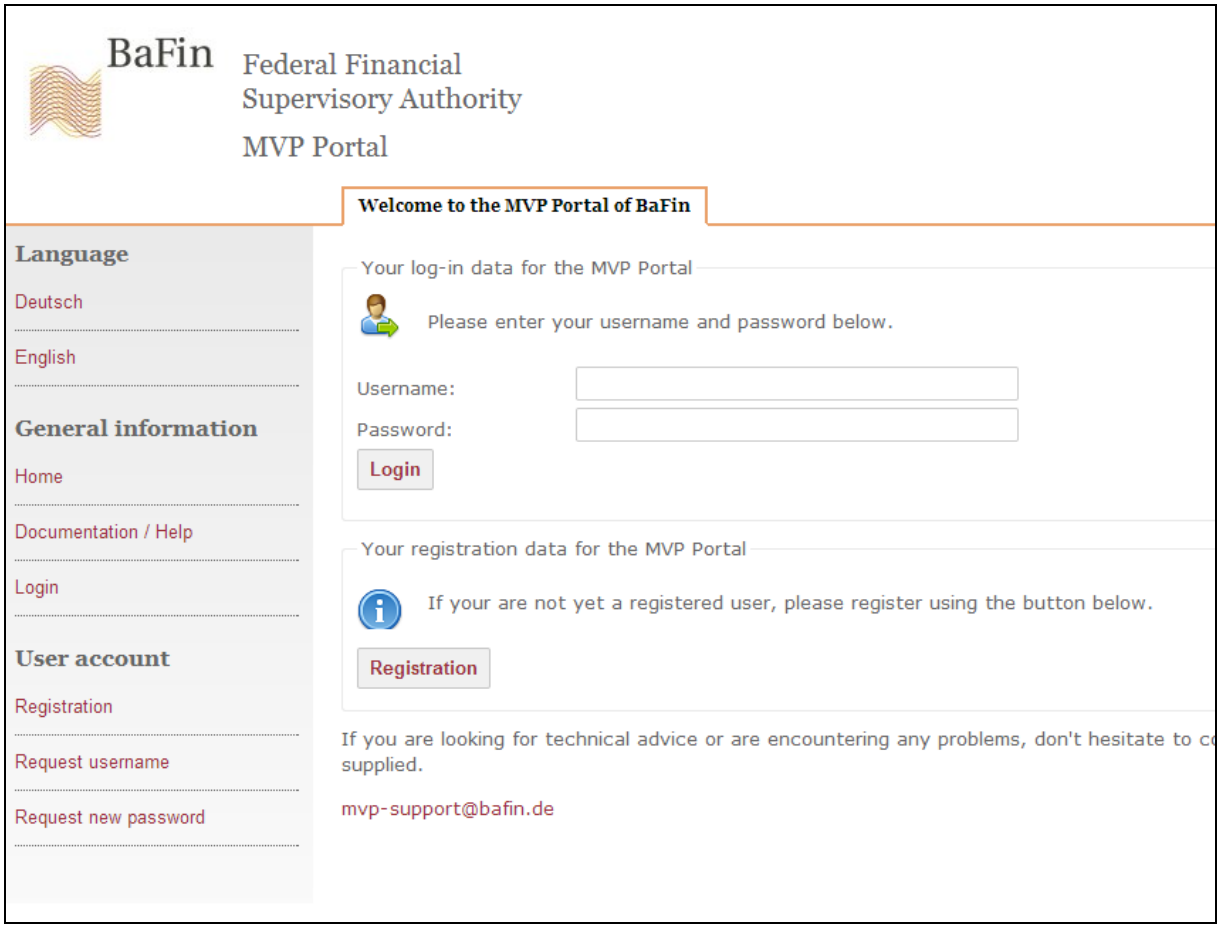


Figure 1: MVP Portal start page

1.2.1 Registering

Under the section "User account" in the left-hand menu, you select "Registration" to first select in what capacity you want to register – as a natural person (private individual) or as a contact person (employee) of a company.

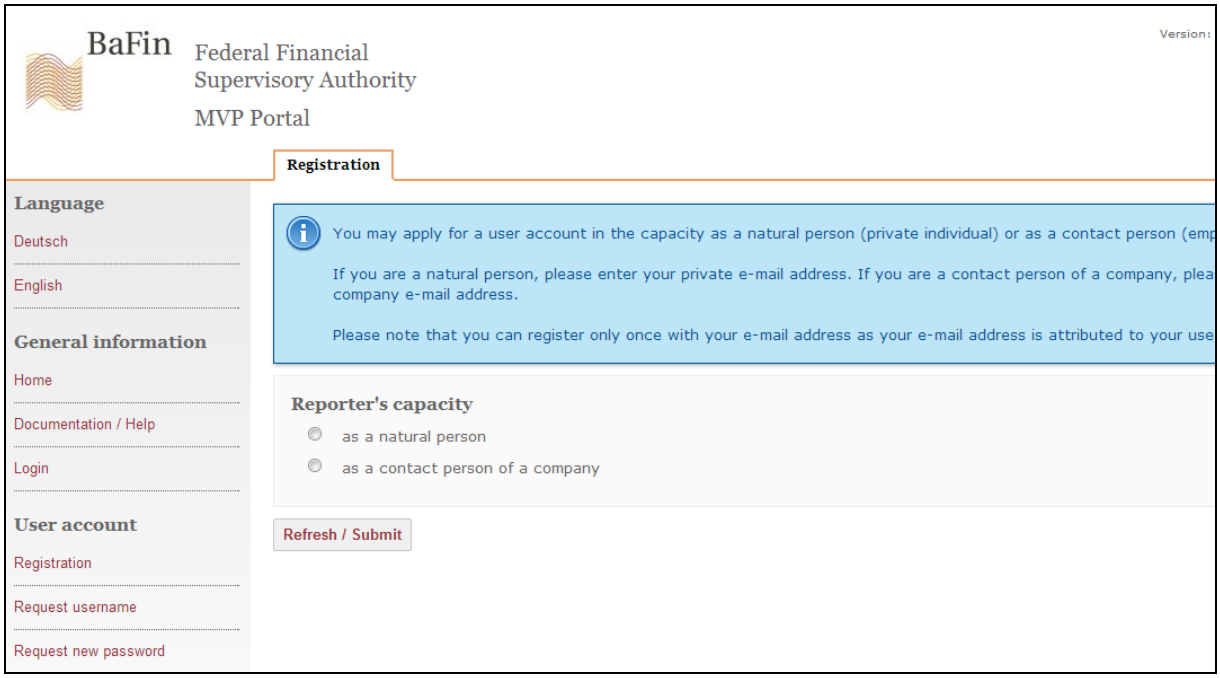

BaFin
Federal Financial
Supervisory Authority
MVP Portal
Version:
Registration
Language
Deutsch
English
General information
Home
Documentation / Help
Login
User account
Registration
Request username
Request new password
You may apply for a user account in the capacity as a natural person (private individual) or as a contact person (emp
If you are a natural person, please enter your private e-mail address. If you are a contact person of a company, plea
company e-mail address.
Please note that you can register only once with your e-mail address as your e-mail address is attributed to your use
Reporter's capacity
as a natural person
as a contact person of a company
Refresh / Submit

Figure 2: Registration – notifying party

After that you will be requested to provide your personal details. If you are a natural person, please enter your private e-mail address here; if you are a contact person of a company, please enter your company e-mail address. The field for stating your title is optional. Please note that you are required to state a company name if you are registering as the contact person of a company. The fields marked with * are mandatory fields.

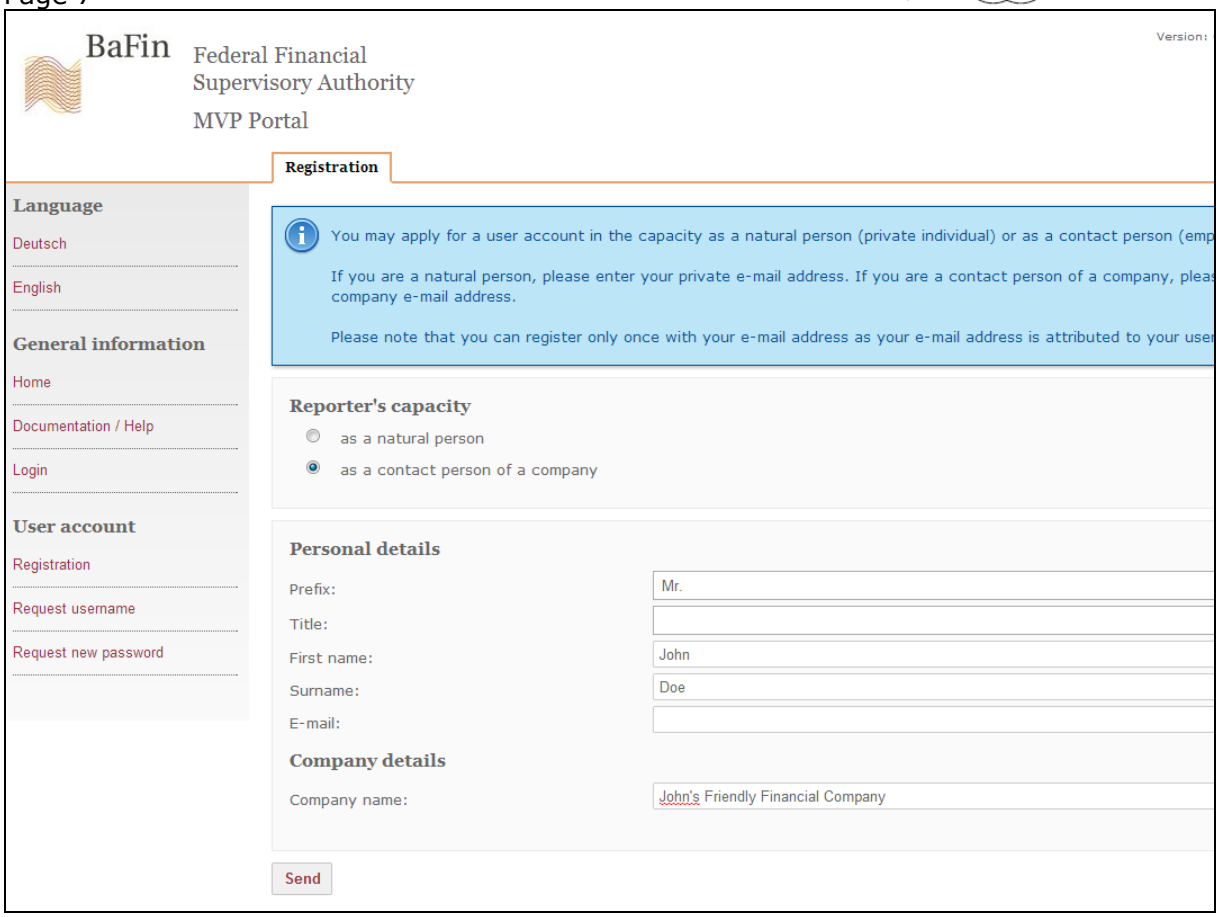


Figure 3: Registration – personal details

To send your registration data to BaFin, click on the "Send" button.

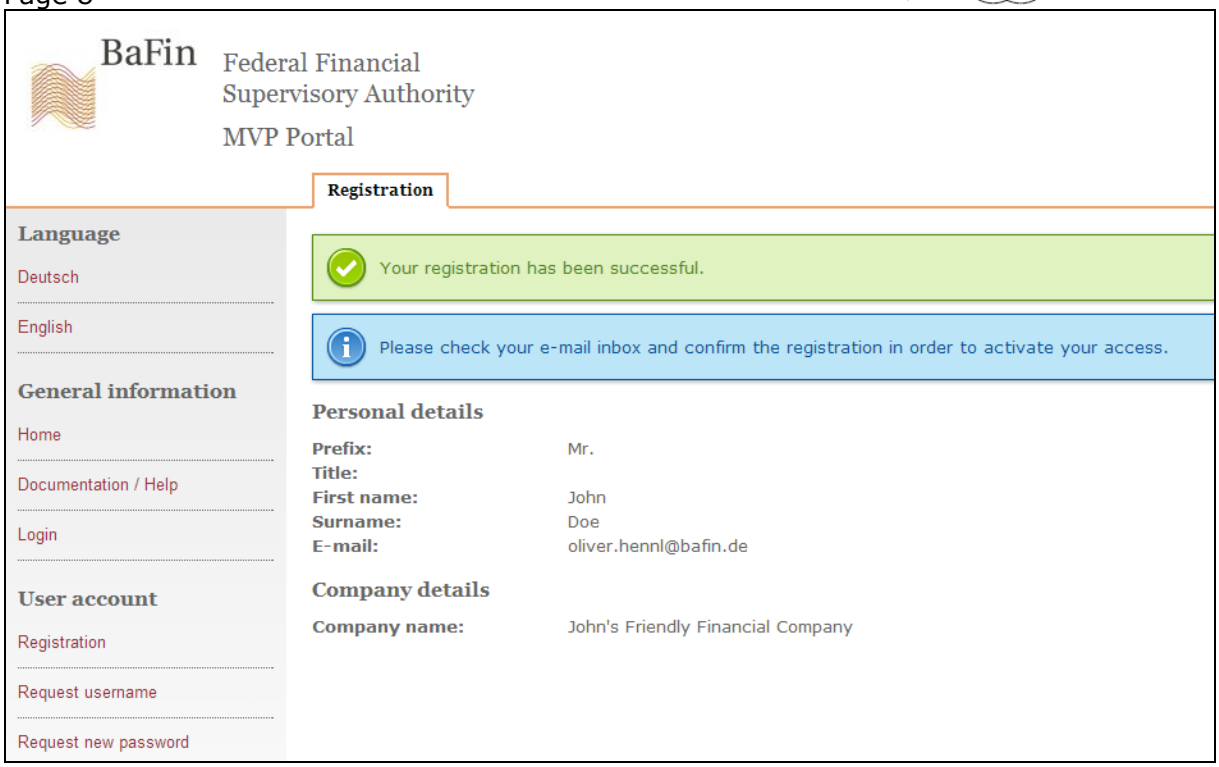
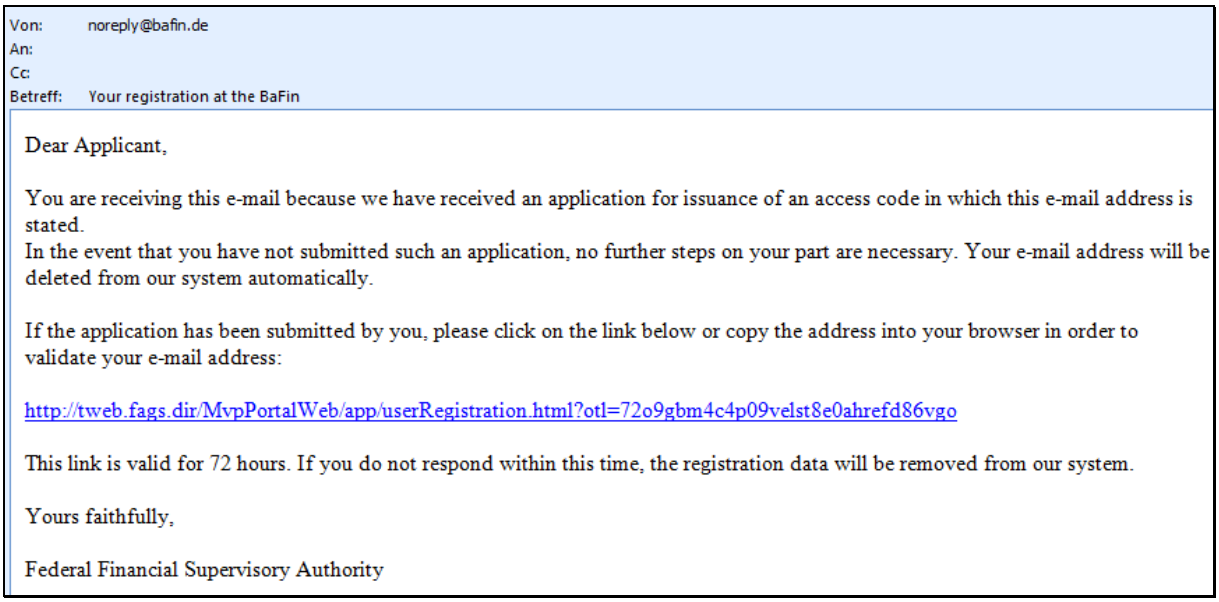


Figure 4: Registration – e-mail transmission

You then receive an e-mail with a link opening a page in which you must confirm the registration and enter your remaining data. This link is valid for 72 hours. If you do not respond within this time, the registration data will be removed from our system.



Von: noreply@bafin.de
An:
Cc:
Betreff: Your registration at the BaFin

Dear Applicant,

You are receiving this e-mail because we have received an application for issuance of an access code in which this e-mail address is stated.
In the event that you have not submitted such an application, no further steps on your part are necessary. Your e-mail address will be deleted from our system automatically.

If the application has been submitted by you, please click on the link below or copy the address into your browser in order to validate your e-mail address:

http://tweb.fags.dir/MvpPortalWeb/app/userRegistration.html?otl=72o9gbm4c4p09velst8e0ahrefd86vgo

This link is valid for 72 hours. If you do not respond within this time, the registration data will be removed from our system.

Yours faithfully,

Federal Financial Supervisory Authority

Figure 5: E-mail confirmation of registration

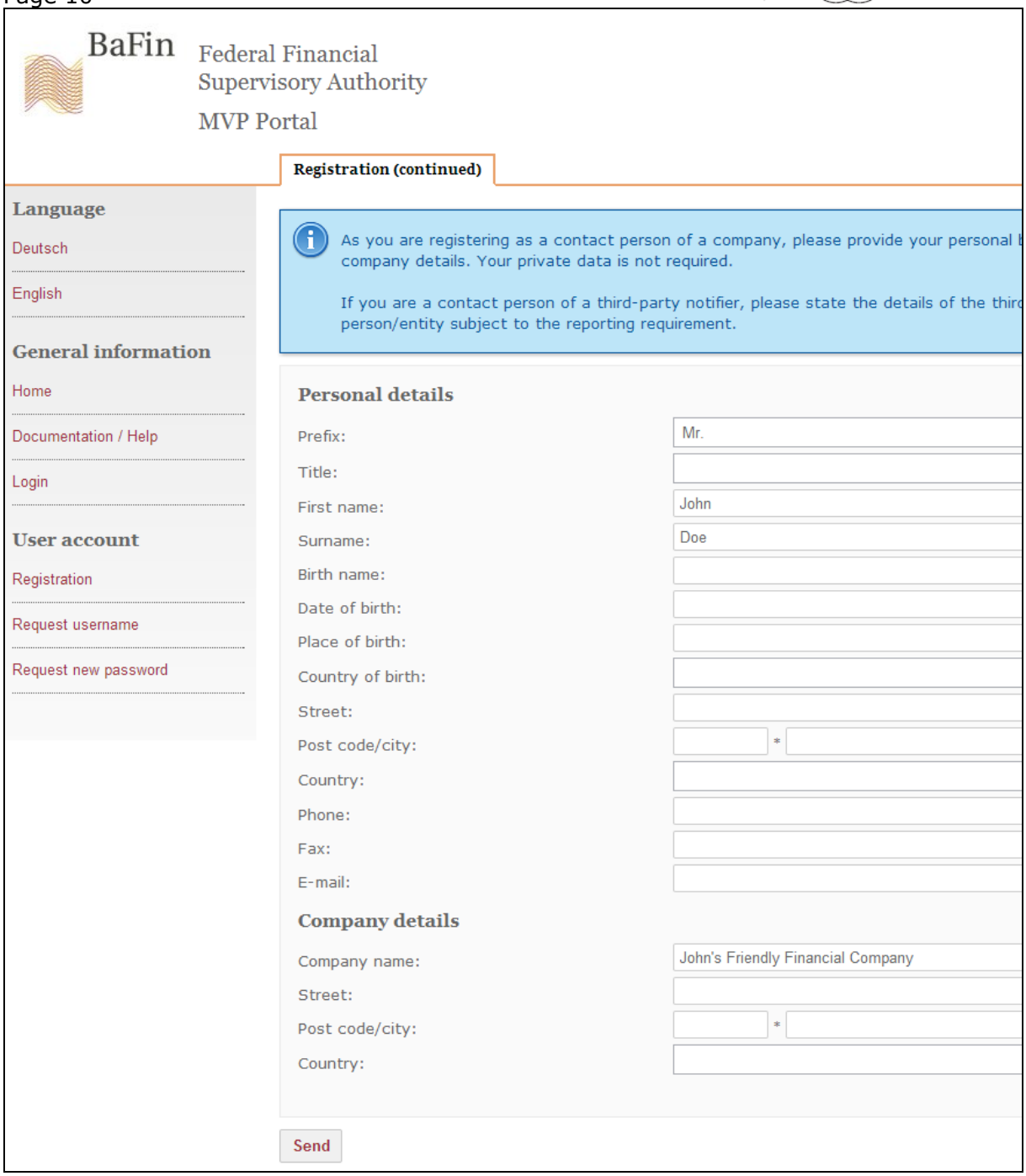


Figure 6: Registration (continued)

Lastly, you are displayed a username and a password for logging in to the MVP Portal. Please from now on do not use the link which was provided in our e-mail (Figure 6: Email confirmation of registration). Its validity has been terminated.
Please remember the log-in data or print out this page, since without such data no access to the MVP Portal is possible.

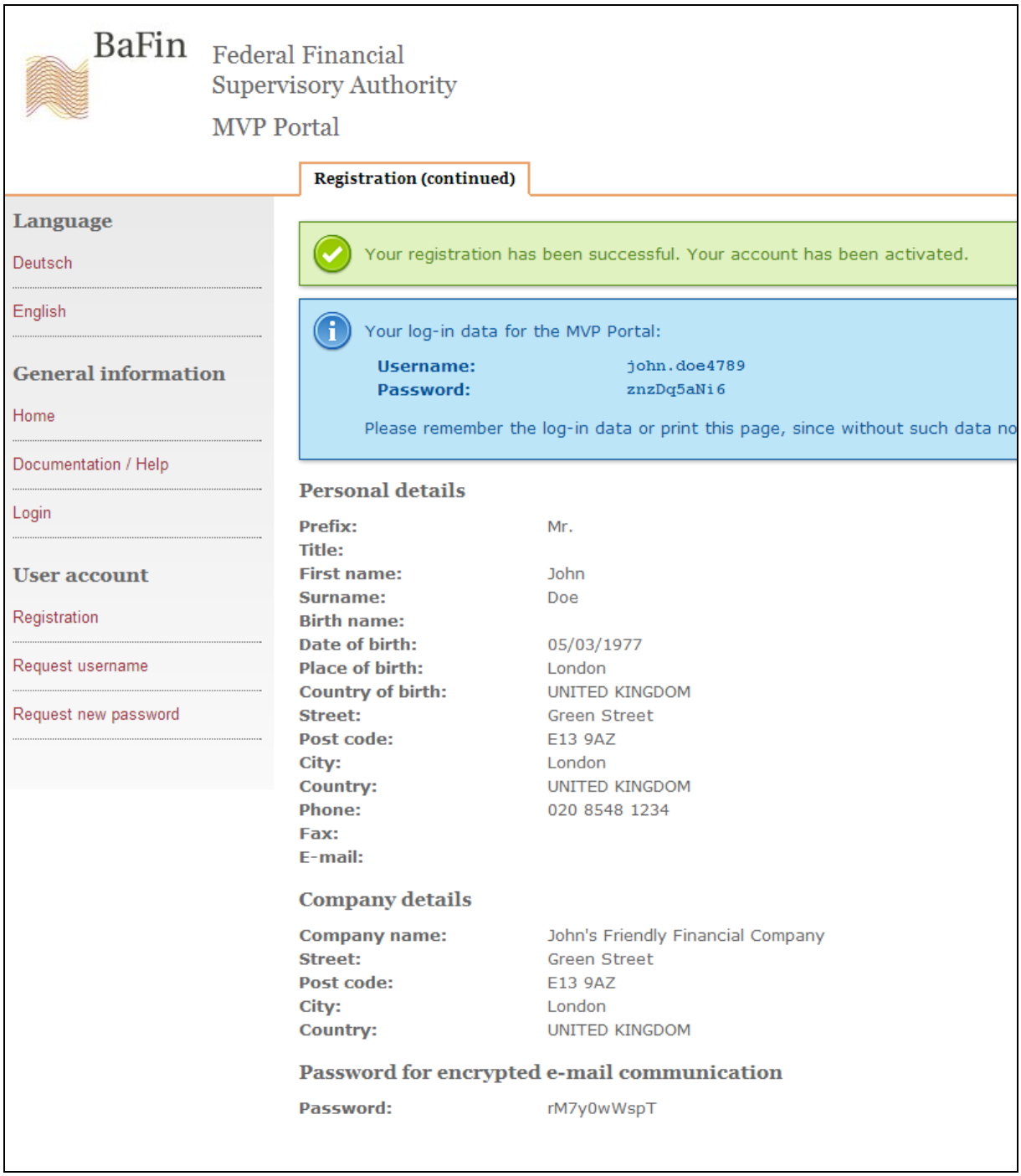


Figure 7: Username and password for log-in after registration

Important notice:
The username and the password are assigned to you for security reasons. You are not free to choose them. **Remember your user identification!** The password is stored at BaFin in encrypted form and cannot be reconstructed, not even by employees of BaFin. If you forget your access data, a new password must be generated. In such cases, please refer to the relevant chapter provided in this Documentation.

1.2.2 Logging in to MVP Portal

With the data, username and password now assigned, you can log in to the MVP Portal by selecting the "Login" link under the section "General information".
Please enter the data and confirm with "Login".
The "Reset" button deletes the data you have entered.

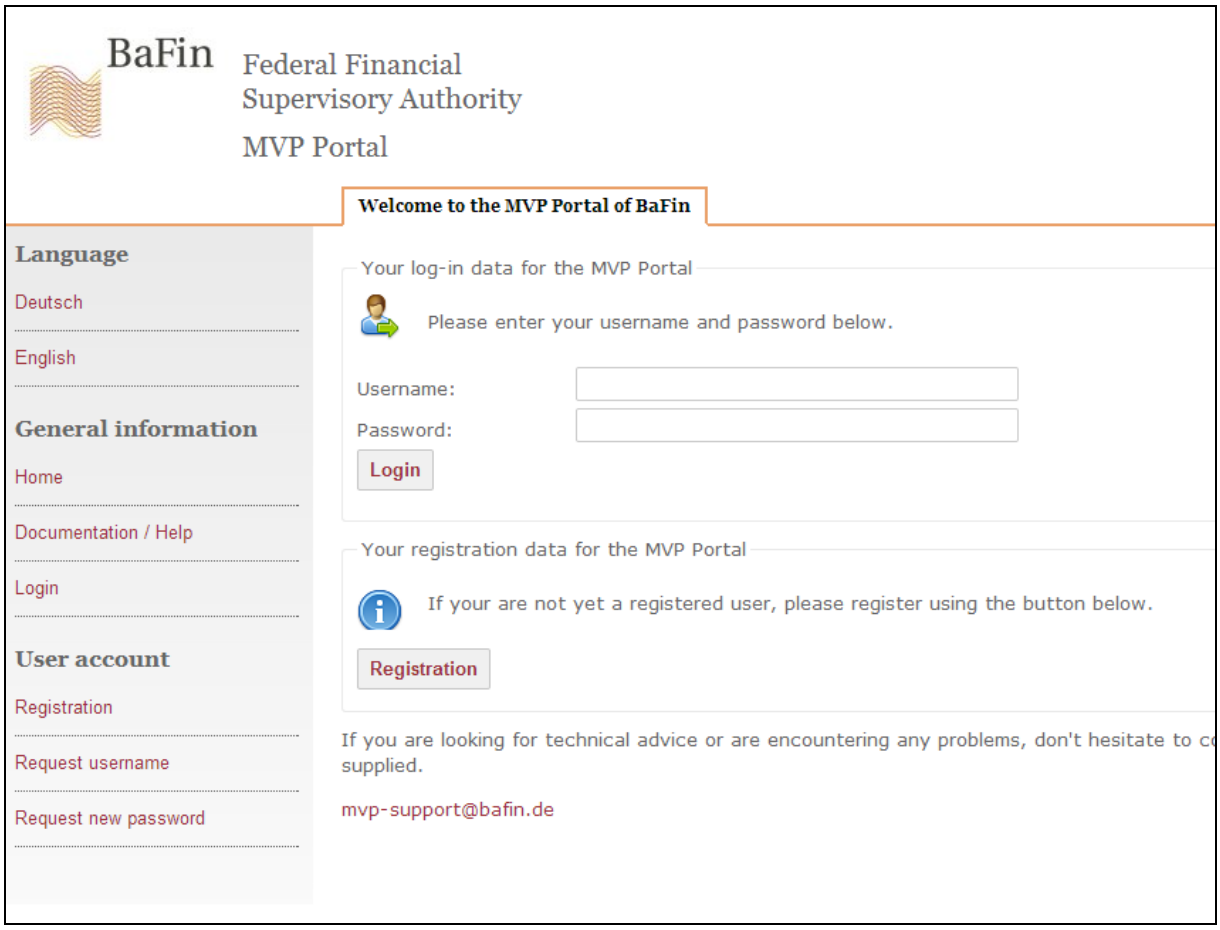


Figure 8: Login

The start screen of the MVP Portal appears – you are logged in!

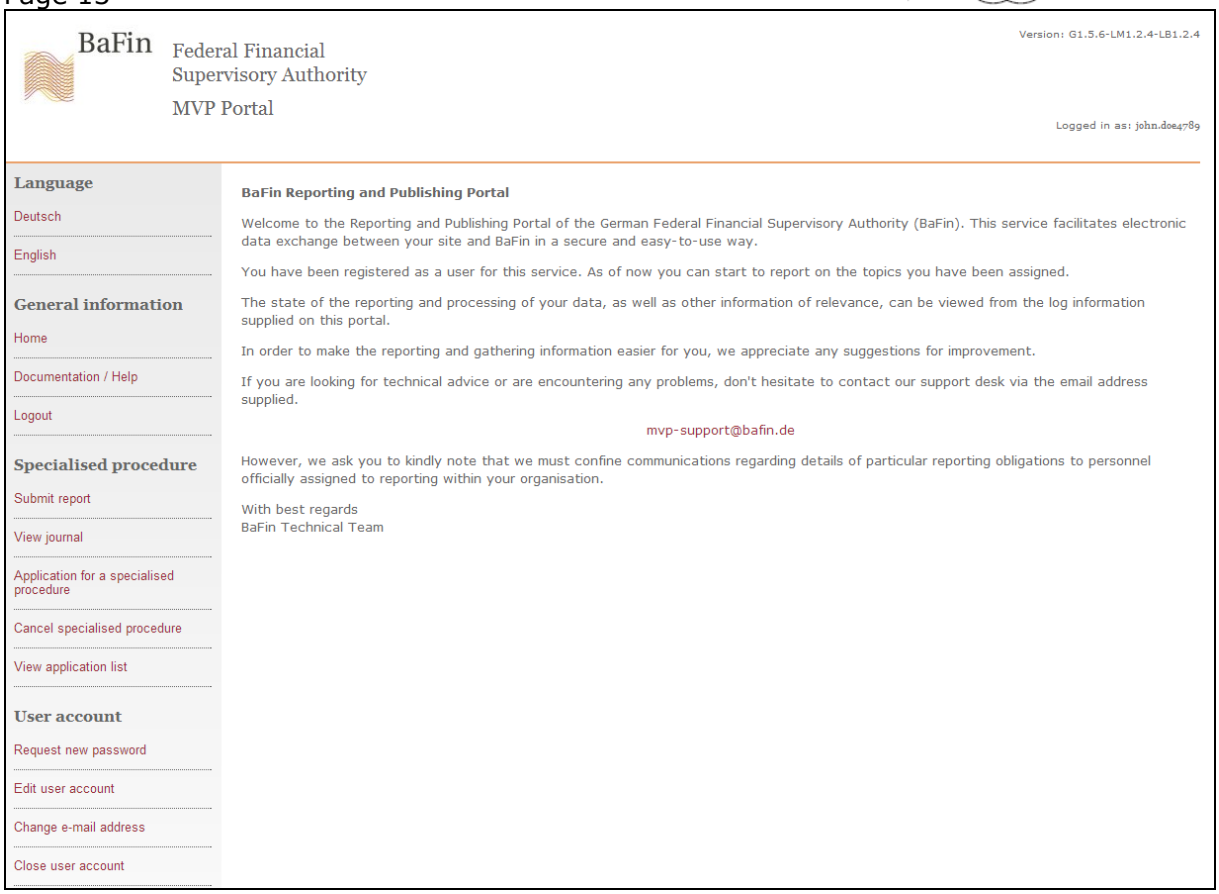

BaFin
Federal Financial
Supervisory Authority
MVP Portal
Version: G1.5.6-LM1.2.4-LB1.2.4
Logged in as: john.doe4789
Language
Deutsch
English
General information
Home
Documentation / Help
Logout
Specialised procedure
Submit report
View journal
Application for a specialised procedure
Cancel specialised procedure
View application list
User account
Request new password
Edit user account
Change e-mail address
Close user account
BaFin Reporting and Publishing Portal
Welcome to the Reporting and Publishing Portal of the German Federal Financial Supervisory Authority (BaFin). This service facilitates electronic data exchange between your site and BaFin in a secure and easy-to-use way.
You have been registered as a user for this service. As of now you can start to report on the topics you have been assigned.
The state of the reporting and processing of your data, as well as other information of relevance, can be viewed from the log information supplied on this portal.
In order to make the reporting and gathering information easier for you, we appreciate any suggestions for improvement.
If you are looking for technical advice or are encountering any problems, don't hesitate to contact our support desk via the email address supplied.
mvp-support@bafin.de
However, we ask you to kindly note that we must confine communications regarding details of particular reporting obligations to personnel officially assigned to reporting within your organisation.
With best regards
BaFin Technical Team

Figure 9: Start screen after log-in

1.2.3 Applying for specialised procedures

After successfully registering and logging in to the MVP Portal, you now have the possibility of applying for a specialised procedure. To do this, select under the section “Specialised procedure” the menu item “Application for a specialised procedure”, and from the drop-down menu select the specialised procedure for which you want to submit notifications.

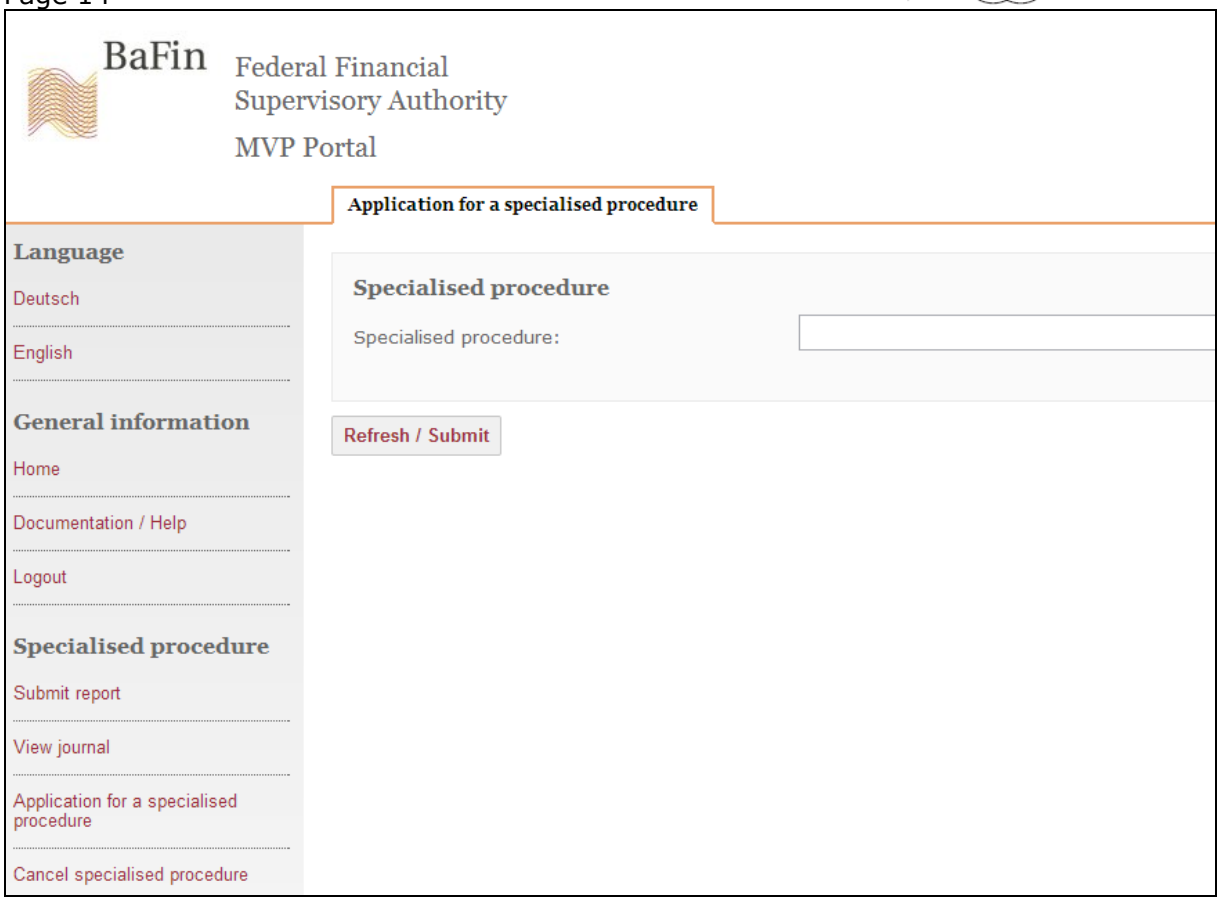
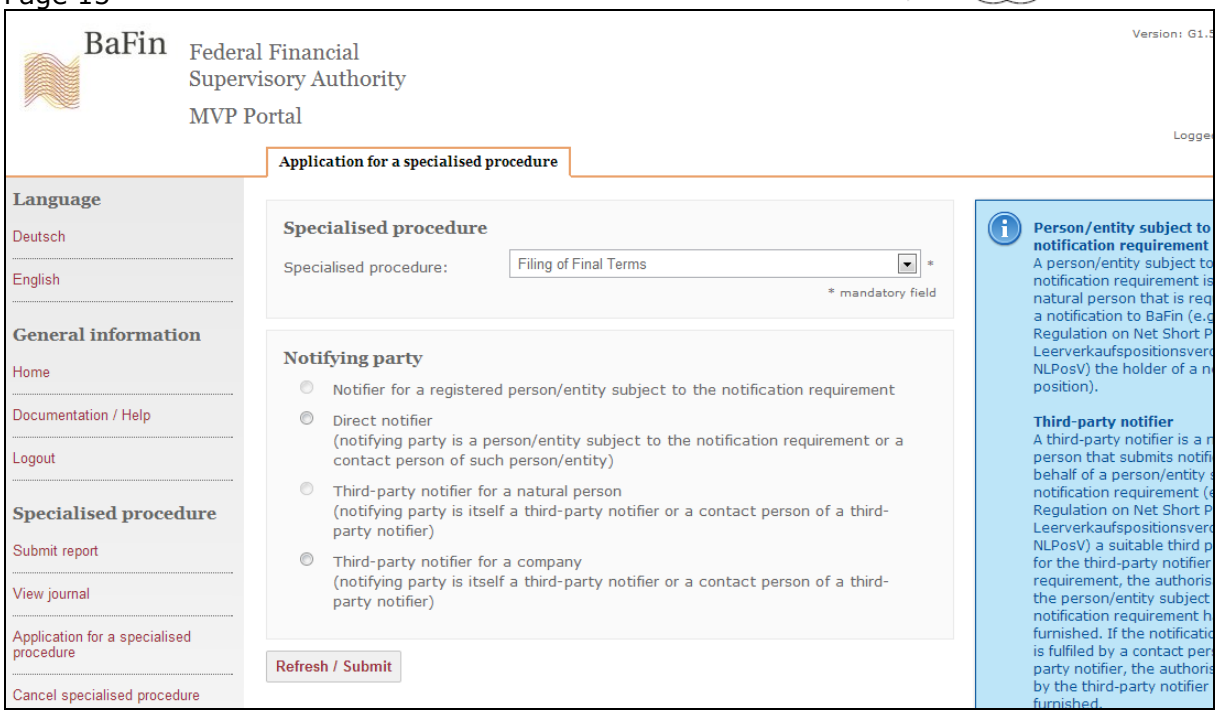


Figure 10: Applying for participation in a specialised procedure

The further steps will depend on the specialised procedure selected and cannot be explained here.

Example:
In the specialised procedure for net short positions, you have to select in which capacity you want to submit notifications.


BaFin
Federal Financial
Supervisory Authority
MVP Portal
Application for a specialised procedure
Language
Deutsch
English
General information
Home
Documentation / Help
Logout
Specialised procedure
Submit report
View journal
Application for a specialised procedure
Cancel specialised procedure
Specialised procedure
Specialised procedure:
Filing of Final Terms
* mandatory field
Notifying party
Notifier for a registered person/entity subject to the notification requirement
Direct notifier
(notifying party is a person/entity subject to the notification requirement or a contact person of such person/entity)
Third-party notifier for a natural person
(notifying party is itself a third-party notifier or a contact person of a third-party notifier)
Third-party notifier for a company
(notifying party is itself a third-party notifier or a contact person of a third-party notifier)
Refresh / Submit
Person/entity subject to notification requirement
Third-party notifier
Figure 11: Specialised procedure –net short positions

Please fill out the fields marked as mandatory fields (*) and follow the instructions given on the Portal.
Once all necessary data have been entered, confirm by clicking on the "Apply" button. After that, a PDF document is automatically prepared from your data and displayed.

Application for the specialised procedure

BaFin

Register of net short positions

Please sign this application and send it to:

Bundesanstalt für Finanzdienstleistungsaufsicht
Referat WA 25/Leerverkaufsüberwachung
Marie-Curie-Straße 24-28
Frankfurt am Main
Germany

Or fax it to: +49 (0)228/4108-1717

Application no.:

Details of procedure

Specialised procedure	
Notifying party	
Person/entity subject to the notification	☒ *direct notifier* ☐ *third-party* ☐ *natural person* ☒ *company*
Notifying party is a	☐ *natural person* ☒ *contact person of a company*

Details of the notifying party

Prefix/title	/
First name	
Surname	
Birth name	
Date of birth	
Place of birth	
Country of birth	
Address	
Street	
Post code/city	
Country	
E-mail	
Phone	
Fax	

Details of the notifying party (company)

Company	
Street	
Post code/city	
Country	

Details of the person subject to the notification requirement (natural person)

Prefix/title	/
First name	
Surname	
Birth name	
Date of birth	
Place of birth	
Country of birth	

Details of the company

Company	
Type of reference	
Reference	

General information on the person/entity subject to the notification requirement

Address

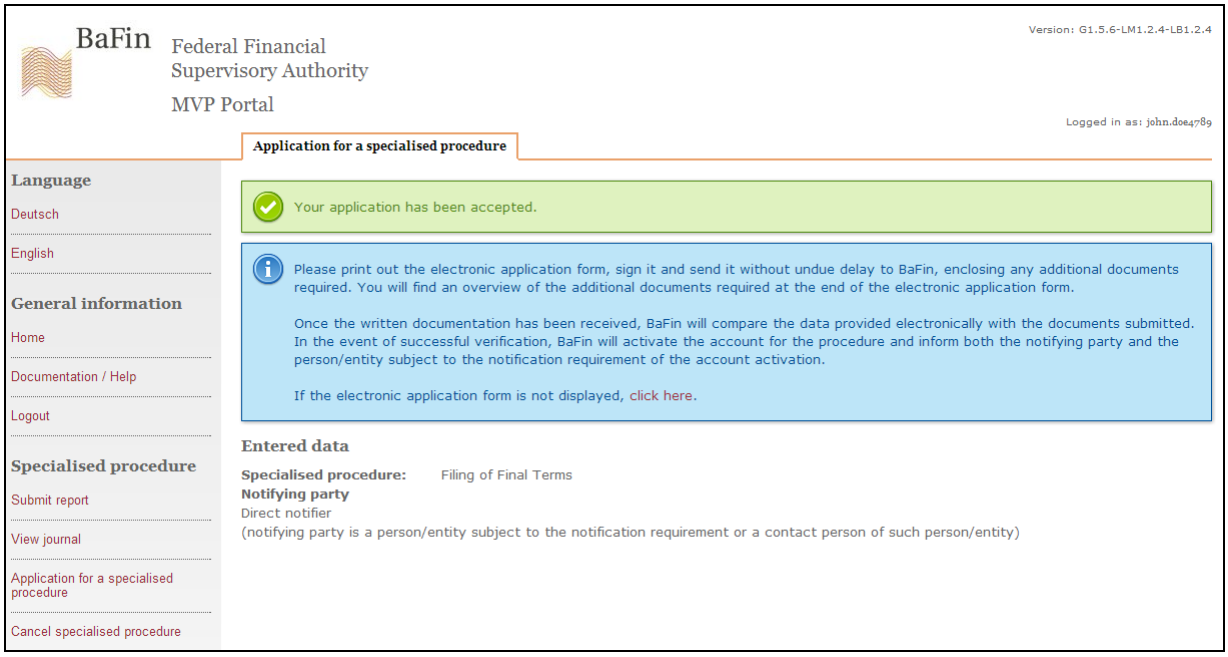
Street	
Post code/city	
Country	
E-mail	
Phone	
Fax	

(date and place)

(signature)

After you have been displayed the automatically generated PDF form (electronic application) and have printed it out, the application for the specialised procedure is completed.

Important notice:
If no PDF document is displayed to you, this may be due to an active pop-up blocker. In that case please click on the download link provided and open the PDF file manually.


BaFin
Federal Financial Supervisory Authority
MVP Portal
Version: G1.5.6-LM1.2.4-LB1.2.4
Logged in as: john.doe4789
Application for a specialised procedure
Language
Deutsch
English
General information
Home
Documentation / Help
Logout
Specialised procedure
Submit report
View journal
Application for a specialised procedure
Cancel specialised procedure
Your application has been accepted.
Please print out the electronic application form, sign it and send it without undue delay to BaFin, enclosing any additional documents required. You will find an overview of the additional documents required at the end of the electronic application form.
Once the written documentation has been received, BaFin will compare the data provided electronically with the documents submitted. In the event of successful verification, BaFin will activate the account for the procedure and inform both the notifying party and the person/entity subject to the notification requirement of the account activation.
If the electronic application form is not displayed, click here.
Entered data
Specialised procedure: Filing of Final Terms
Notifying party
Direct notifier
(notifying party is a person/entity subject to the notification requirement or a contact person of such person/entity)
Figure 12: Completion of application for specialised procedure

1.2.4 View journal

Under the menu item "View journal", you have the possibility of keeping track of what notifications you have already transmitted to BaFin under a specialised procedure and of what processing status such notifications have reached.

For this, simply select your filter criteria and click on "search".
A list of the notifications you have already submitted is then displayed.

Figure 13: View journal

At the bottom of the result list you can use the 'csv' or 'PDF' link to export the result into an EXCEL compatible CSV or a PDF file.

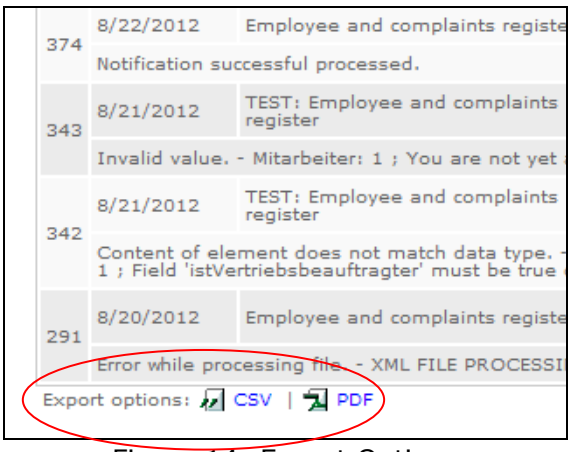


Figure 14: Export Options

1.2.5 Cancellation of specialised procedures

If you no longer wish to submit any further notifications in a specialised procedure you applied for in the MVP Portal, you may cancel this specialised procedure.
To do this, select the menu item "Cancel specialised procedure" and from the drop-down menu the specialised procedure concerned as well as the person/entity subject to the notification requirement on whose behalf you have submitted notifications. To complete this operation, click on the "Cancel" button.

Important notice:
Once completed, cancellation of a specialised procedure cannot be reversed!

Figure 15: Cancellation of specialised procedures

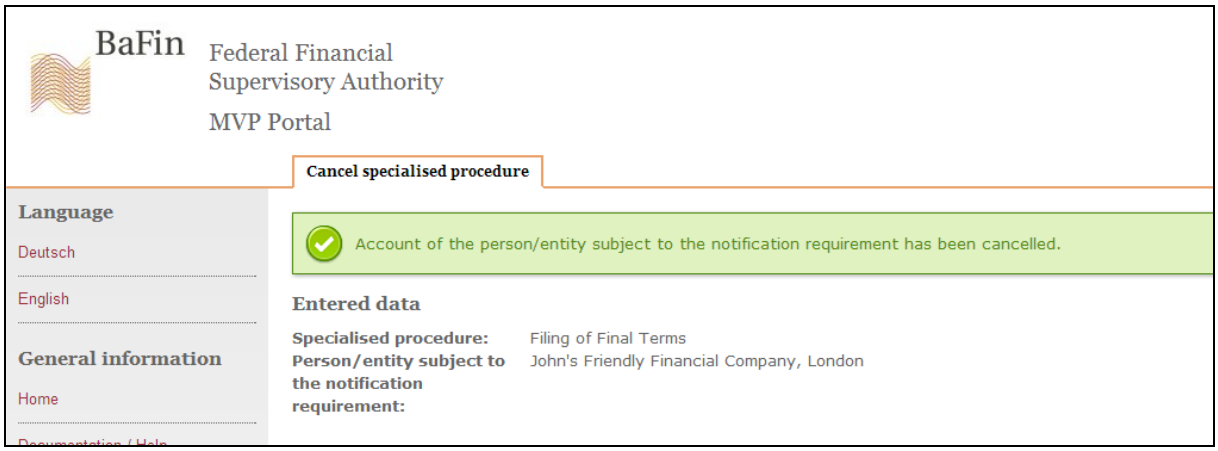


Figure 16: Cancellation of specialised procedures (completion)

1.2.6 View application list

Under the section "View application list", you can view the electronic application you have already submitted and re-generate the corresponding PDF file:

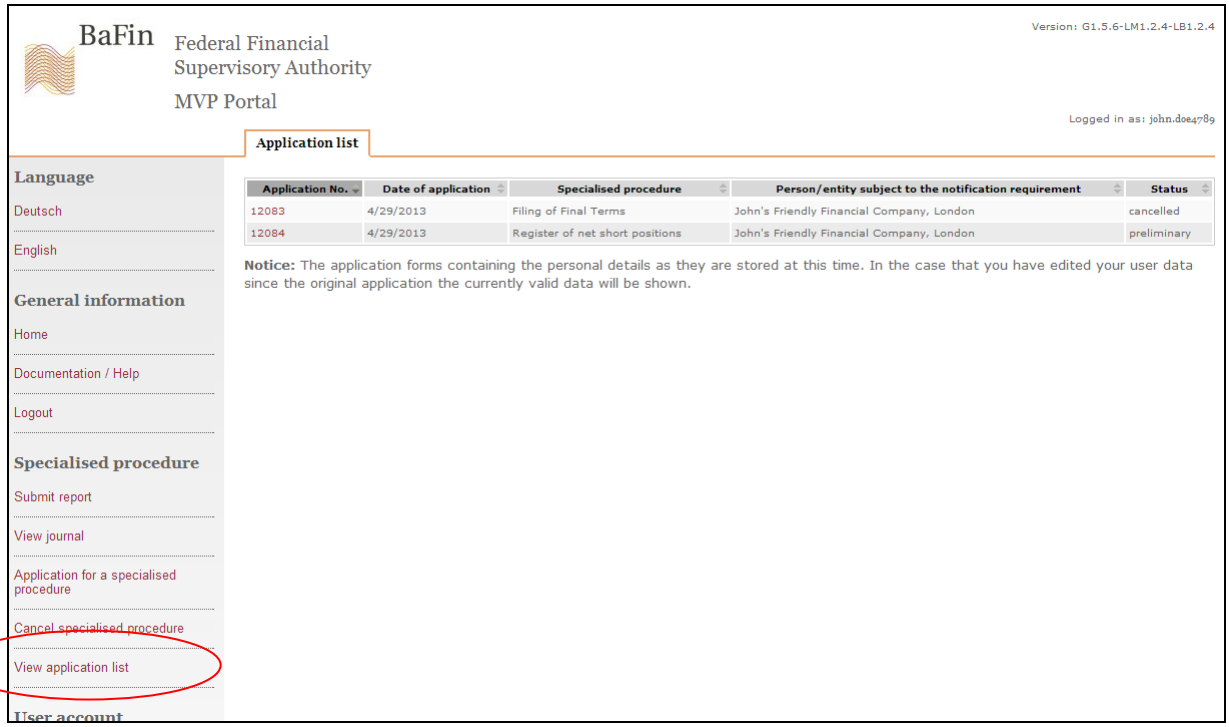


Figure 13: View application list

If you click on the respective application number you will be able to re-generate the PDF form. The selected application depends on the procedure you have applied for.
Here you can also view the status of your application. Applications may have reached the following status:

- **preliminary**
  Your application has been submitted electronically but has not yet been processed by BaFin. Depending on the procedure selected, you may be allowed to submit preliminary notifications.
- **accepted**
  Your application has been accepted. Depending on the procedure selected, you can now submit notifications; preliminary notifications that have already been submitted become final.
- **refused**
  BaFin has refused your application; preliminary notifications have been deleted.
- **cancelled**
  You have cancelled your application and your preliminary notifications have been deleted; notifications that have become final are retained.

Important notice:
The data contained in the applications correspond to the current user data. Should you have changed your user data since submission of the application, the current data will be used.

1.2.7 Logging out of MVP Portal

To log out of the MVP Portal, click on the menu item "Logout" on the left-hand side of the main menu. It is urgently recommended to end each session by logging out.
A session is ended automatically when it has been inactive for more than 40 minutes.

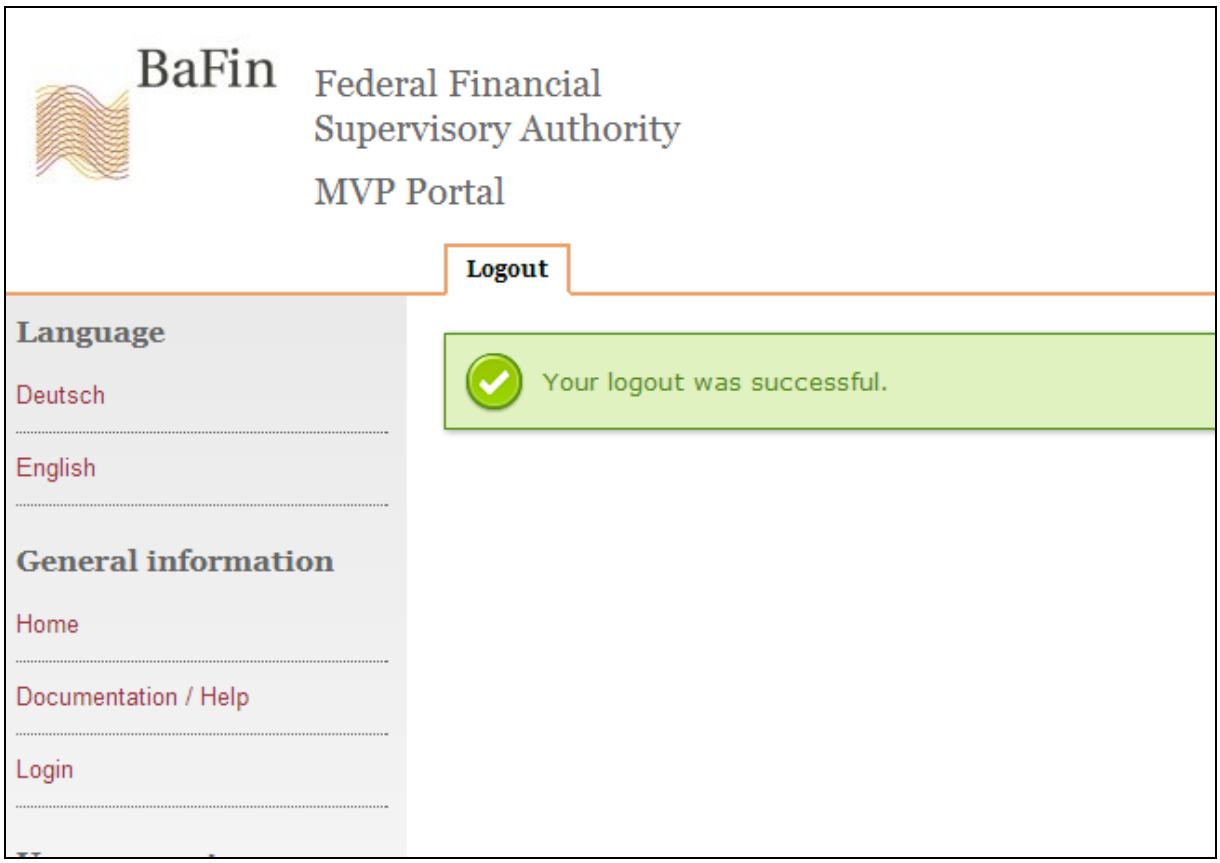


Figure 17: Logout

1.2.8 Requesting username

If you have forgotten your username or are concerned that unauthorised persons may have gained access to it, you can request a new username.
Click on the menu item "Request username". You will be asked to enter the e-mail address you have communicated on your registration at MVP Portal. Please enter this e-mail address and click on "request"-button. If the entered e-mail address matches with the one that is stored in our system, an e-mail is sent to the address you have provided. Please check your e-mail inbox and click on the link in this e-mail, to confirm the operation.
On the web page, your new username is displayed.

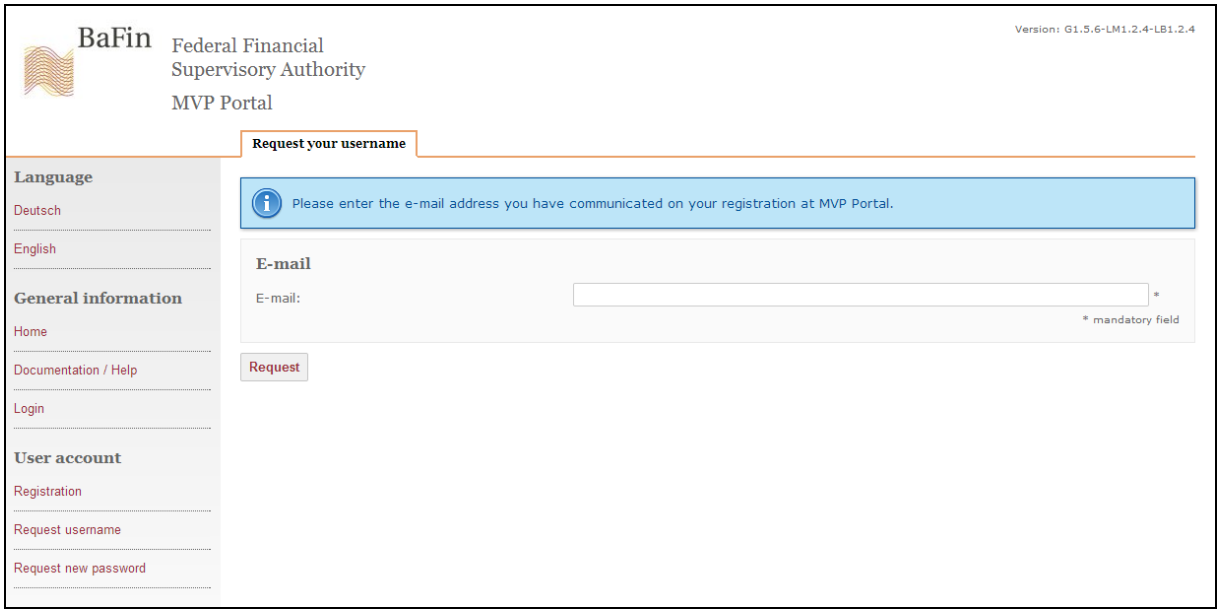


Figure 18: Requesting new username

1.2.9 Requesting a new password

If you have forgotten your password or are concerned that unauthorised persons may have gained access to it, you should request a new password. Click on the menu item "Request new password". You will be asked to enter the username you have received on your registration at MVP Portal. Please enter this username and click on "request" - button.
An e-mail is sent to the e-mail address you have provided on your registration at MVP Portal. Please check your e-mail inbox and click on the link in this e-mail, to confirm the operation. On the web page, your new password is displayed.

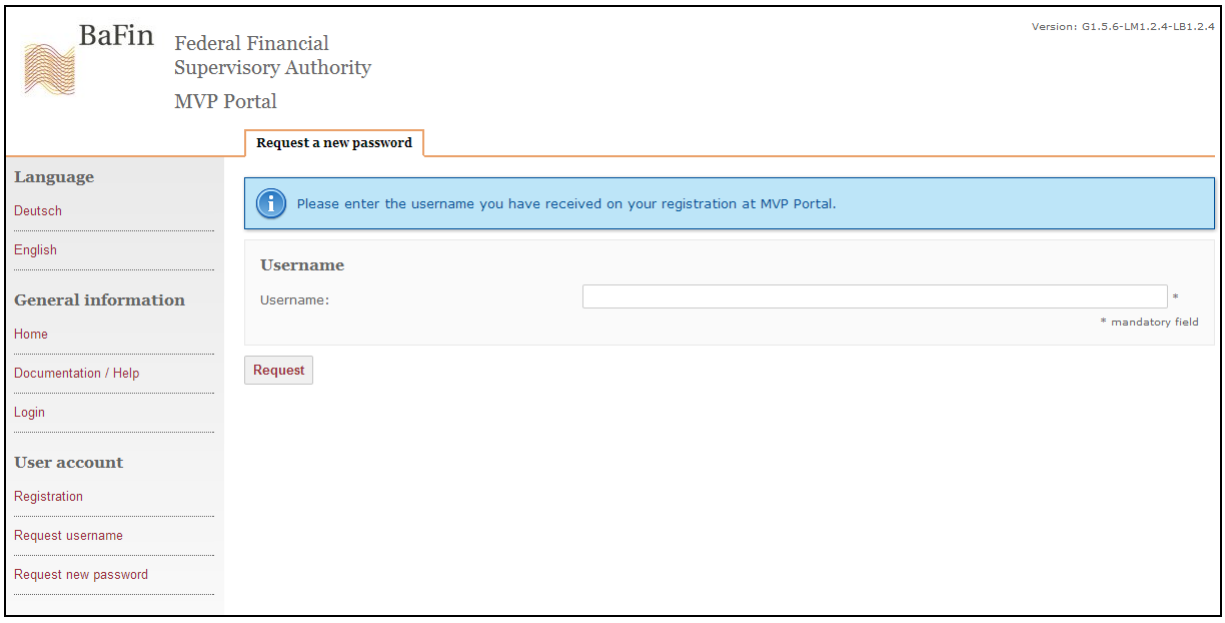


Figure 19: Requesting new password

1.2.10 Edit User Account

To edit your user account data please click on the link "Edit User Account" in the menu:

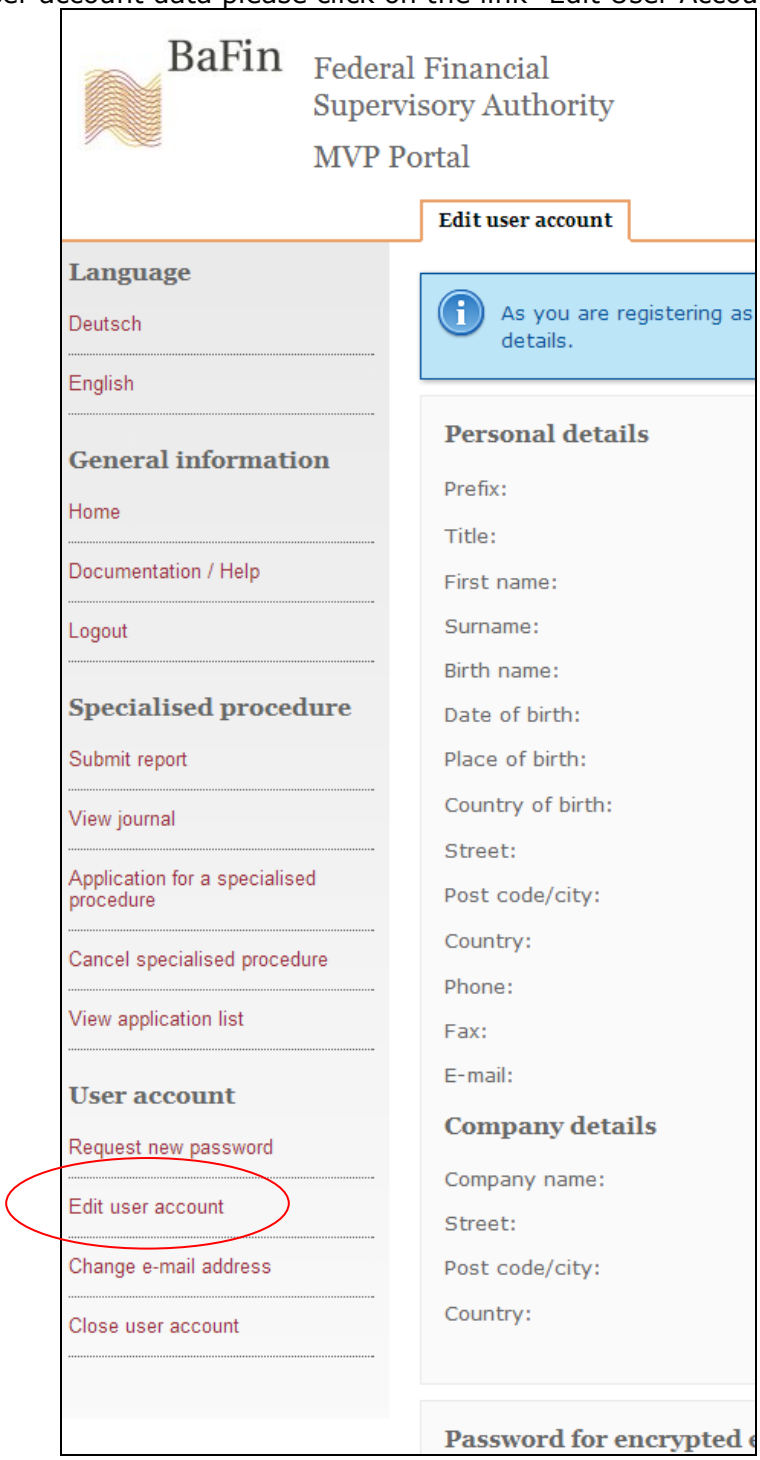


Figure 19: Edit user account

An input form opens to change your user data. Please click on the button "change" when you're done. In order to change your e-mail address, please use the function "Change e-mail address".

1.2.11Change e-mail address

To change your e-mail address select the link "Change e-mail address" in the menu:

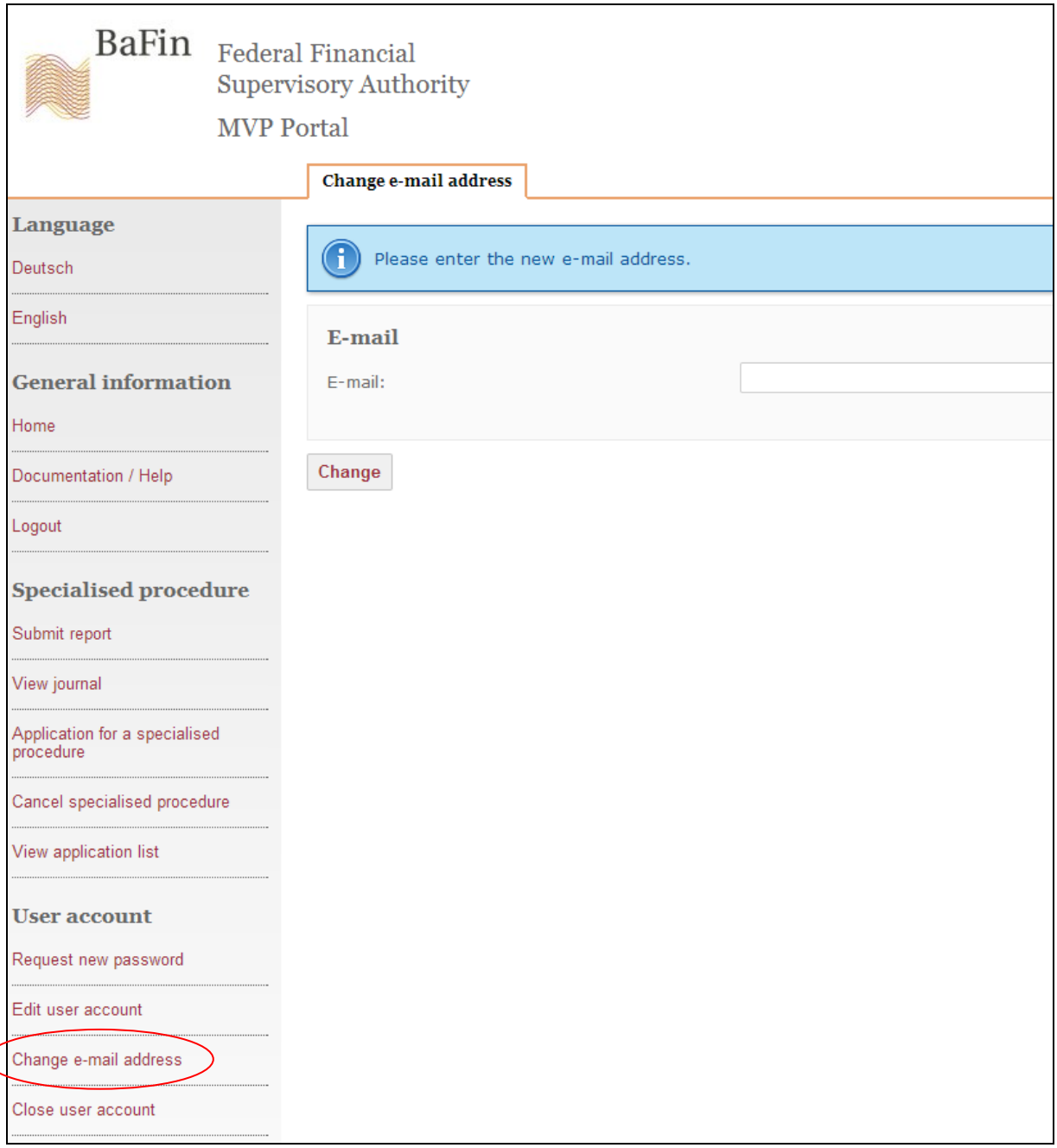


Figure 20: Change e-mail address

You will be asked to provide your **new** e-mail address in an in put field. An automated mail will be sent to verify the address. Please click at the link which is contained in the mail. The new address will be active afterwards.

1.2.12Close user account

You can permanently close your user account under the section "Close user account". The account cannot subsequently be reopened.

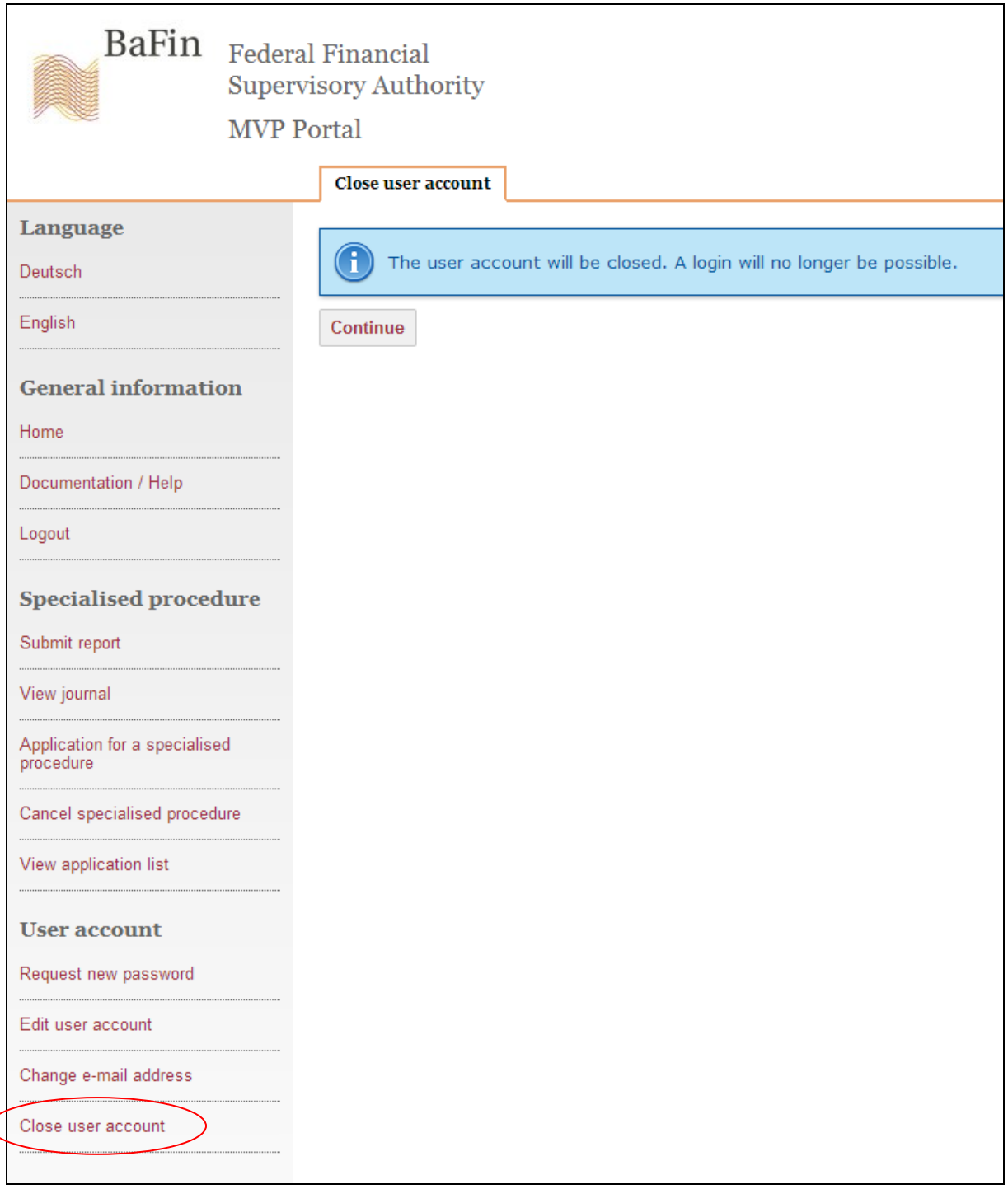


Figure 22: Close user account

To close your user account, please proceed as follows:

1. Click on the "Close user account" button.

2. Click on the "Continue" button.
3. You will then receive an e-mail at the address you have provided. Click on the confirmation link provided in the e-mail.
4. You will be redirected to the MVP Portal to confirm that you intend to close your account. Closing of the account will then be initiated.

After your user account has been closed all notification authorisations will be revoked. Should you have submitted preliminary notifications without having been granted notification authorisation, these preliminary notifications will be deleted. Subsequently your account will be closed and you will no longer have access to the system. You will no longer be able to log in to the MVP Portal.

1.3 Documentation

In addition to this User Manual, an online documentation is provided that can be viewed under the menu item "Documentation/Help" on the MVP Portal. This can also be done without logging in.
This User Manual as well as the online documentation will be updated as required. Particularly the menu item FAQs (frequently asked questions) will be supplemented over time by questions brought to our attention.

1.4 Adjusting the language environment

To switch the displayed language to English, please use the link in the main menu "Language: German/English". Currently, only these two languages are available. Normally, the browser setting is evaluated as the displayed language and English selected in the case of non-German browsers.